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PTO/SB/08B (08-03)

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Substitute	for form 1449,	/PTO		Application Number	10/696,282	
TNEC	DMATT	ON I	DISCLOSURE	Filing Date	October 29, 2003	
CLV.	TEMENT	BY	APPLICANT	First Named Inventor Wilson et al		
SIA	STATEMENT BY APPLICANT		Group Art Unit	1635/636		
,,	Use as many s	hoote a	necessary)	Examiner Name	Brian A. Whiteman DAVID GUZO	
<u>_</u>	use as many s		1	Attorney Docket Number	GNV31BUSA/K1774DIV1	
Sheet] 1	of	1	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		

		NONPATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
N	LLL	ZHI ET AL, Increased Antigen-Specific Humoral Response by Adenoviral Vector Prime and Adeno-Associated Viral Vector Boost, Abstract 569, 7 th Annual Meeting of the American Society of Gene Therapy [June 2-6, 2004] Minneapolis, Minnesota,	
a	MMM	BOYER ET AL, Anti-SARS Humoral And Cellylar Immunity Evoked by Adenovirus Vector Expressing Spike Glycoprotein from SARS Coronavirus, Abstract 558, 7 th Annual Meeting of the American Society of Gene Therapy [June 2-6, 2004] Minneapolis, Minnesota, (e-publ. May 2, 2004)	
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Date Considered

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 2

Co	mplete if Known
Application Number	10/696,282
Filing Date	October 29, 2003
First Named Inventor	Wilson et al
Group Art Unit	1633 /636
Examiner Name	Brian-A. Whiteman DAVID GUZ
Attorney Docket	GNV31BUSA/
Number	UPN-K1774DIV1

		U.S. PAT	ENT DOCUMENTS		· · · · ·
Examiner Initials*	Cite No.1	Document Number	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ^{2(if known)}	MM-DD-YYYY		
Je	FFF	US-2004-0057933 A1	03-25-2004	Wilson et al	
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UZ	ННН	US-6,759,237 B1	07-06-2004	Wilson et al	
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	-	FOREIGN P	ATENT DOCUMENTS			
Examiner Initials*	Cite No.1	Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	т•

Examiner	()	· 1 m	Date	10/1/
Signature	Da	vel Jung	Considered	12/29/05

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of the patent document. ³ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.

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	TNE	ORMA	TION	Application Number	10/696,282	
DISCLOSURE				Filing Date	October 29, 2003	
STATEMENT BY APPLICANT				First Named Inventor	Wilson et al	
				Group Art Unit	1635 /636	
((Use as many sheets as necessary)			Examiner Name	Brian A. Whiteman GUZO	
Sheet	2	of	2	Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1	

oe II	GAO ET AL, Clades of Adeno-Associated viruses are widely	
T .	Disseminated in Human Tissues, Journal of Virology, Vol. 78, No. 12, pp. 6381-6388, (June 2004)	
æ JJ	GAO ET AL, Erythropoietin Gene Therapy Leads to Autoimmune Anemia in Macaques, Blood, Vol. 103, No. 9, (May 1, 2004)	
A K	RICK ET AL, Congenital Bleeding Disorders, American Society of Hematology, pp. 559-574, (2003)	

Examiner Signature	David In	Date Considered /2/29/05	
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^{**}EXAMINEX: Initial if reference considered, whether or not claution is in conformance with MFE obs. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The Information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 USC 122 and 37 CFR 1.14. this collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETE FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Alexandria, VA 22313-1450.



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Substitute	e for form	1449/PTO		Application Number	10/696,282
INF	ORMA	TION	DISCLOSURE	Filing Date	October 29, 2003
STATEMENT BY APPLICANT				First Named Inventor	James M. Wilson
(L	(Use as many sheets as necessary)			Group Art Unit	1635 /636
				Examiner Name	Brian A. Whiteman DAVID GUZO
Sheet	1	of	1	Attorney Docket Number	GNV31BUSA/K1774DIV1

			U.S. PATENT DOCUMENT	S	
		Document Number		Name of	<u> </u>
Examiner Initials*	Cite No. ¹	Number-Kind Code ^{2(if} known)	Publication Date MM-DD-YYYY	Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
			 		

				FOREIC	ON PATENT DOCUMENTS			
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (if known)			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
p	EEE	PCT	WO 02/063025	A2	08-15-2002	Avigen, Inc.	<u> </u>	
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Signature		Considered	12/26/1
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Substitute for form 1449/PTO				Complete if Known			
INFORMATION DISCLOSURE				Application Number	10/696,282		
				Filing Date	October 29, 2003		
STATEMENT BY				First Named Inventor	James M. Wilson		
		PLIC		Group Art Unit	1635 /636		
(Use as m	any shee	ts as necessary)	Examiner Name	Brian A. Whiteman 6020		
Sheet	heet 1 of 1		Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1			

Examiner Initials*	Cite No.1	Include the name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item, (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), columeousse number(s), publisher, city and/or country where published	T²
K	DDD	SURACE ET AL, Delivery of Adeno-Associated Virus Vectors to the Fetal Retina: Impact of Viral Capsid Proteins on Retinal Neuronal Progenitor Transduction, Journal of Virology, Vol. 77, No. 14, pp. 7957-7963, (July 2003)	
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Substitute	for form 14	49/210		Application Number	10/696,282		
INF	ORMAT	ION	DISCLOSURE	Filing Date	October 29, 2003		
	STATEMENT BY APPLICANT			First Named Inventor	James M. Wilson, M.D., Ph.D.		
(L	Ise as man	y sheets a	s necessary)	Group Art Unit	1995/636		
				Examiner Name	Brian A. Whiteman GV20		
Sheet	1	of	1	Attorney Docket Number	GNV31BUSA/K1774DIV1		

U.S. PATENT DOCUMENTS								
		Document Number	·	Name of				
	Cite No. ¹	Number-Kind Code ^{2(if} known)	Publication Date MM-DD-YYYY	Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages o Relevant Figures Appear			
or	CCC	US-2002-0159978 A1	10-31-2002	Allen				
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Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T.º

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Signature	Javy Juga	Considered	16/69/01
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INFORMATION				Filing Date	October 29, 2003	
DISCLOSURE			URE	First Named Inventor	James M. Wilson	
	STATE	MEN	IT BY	Group Art Unit	1635 /636	
	APP	-	NT s as necessary)	Examiner Name	Brian A. Winternan GUZU	
Sheet	1	of	8	Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1	

	U.S. PATENT DOCUMENTS								
Examiner	Cite	Document Number	Publication Date	Name of Patentee	Pages, Columns, Lines, Where Relevant Passages				
Initials*		Number-Kind Code ^{2(Ifknown)}	MM-DD-YYYY	or Applicant of Cited Document	or Relevant Figures Appear				
91	Α	US-6,387,368 B1	05-14-2002	Wilson et al					
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01	C	US-6,482,634 B1	11-19-2002	Wilson et al					
91	D	US-6,475,769 B1	11-05-2002	Wilson et al					
.91	Е	US-6,365,394 B1	04-02-2002	Gao et al					
R	F	US-6,399,385 B1	06-04-2002	Croyle et al					

		FOREIGN	N PAT	TENT DOCUMENTS			
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		Country Code ³ - Number ⁴ - Kind Code ⁵ (If Known)		Publication Date MM-DD-YYYY	Applicant of Cited Document		
01	G .	PCT WO03/093440	A2	11-13-2003	University of Florida		
81	H	PCT WO03/092598	A2	11-13-2003	University of Florida		
SU	Ī	PCT WO98/11244	A2	03-19-1998	J. Chiorini		

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Signature

Date
Considered

12/29/05

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Cubatitud	Substitute for form 1449/PTO		Complete if Known		
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INFORMATION				Filing Date	October 29, 2003
DISCLOSURE			URE	First Named Inventor	James M. Wilson
	STATEMENT BY			Group Art Unit	1636
(LICA	ANT s_as_necessary)	Examiner Name	Brian A. Whiteman 6,020
Sheet			Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1	

-	U.S. PATENT DOCUMENTS								
Examiner	Cite	Document Number	Publication Date	Name of Patentee	Pages, Columns, Lines, Where Relevant Passages				
Initials*	No.1	Number-Kind Code ^{2(if known)}	MM-DD-YYYY	or Applicant of Cited Document	or Relevant Figures Appear				
pl	J	US-5,871,982 B1	02-16-1999	J. Wilson					
81	K	US-6,258,595 B1	07-10-2001	G. Gao					
091	L	US-6,274,354 B1	08-14-2001	J. Wilson					
97	M	US-6,251,677 B1	06-26-2001	J. Wilson					

		FOREIGN PA	TENT DOCUMENTS			
Examiner	Cite	Foreign Patent Document	Publication Date	Name of Patentee or	Pages, Columns, Lines, Where Relevant	T⁵
Initials*	No.1	Country Code ³ - Number ⁴ -Kind Code ⁵ (If known)	MM-DD-YYYY	Applicant of Passag Cited Passag Relevant	Passages or Relevant Figures Appear	:s
01	N	PCT WO96/13598 A2	05-09-1996	J. Wilson		
ge	0	PCT WO98/10088 A1	03-12-1998	J. Wilson		
01	P	PCT WO98/10086 A1	03-12-1998	J. Wilson		
Th	Q	PCT WO99/15677 A1	04-01-1999	J. Wilson		
91	R	PCT WO99/14354 A1	03-25-1999	J. Wilson		
91	S	PCT WO99/15685 A1	04-01-1999	J. Wilson		
1	T	PCT WO99/47691 A1	09-23-1999	G. Gao		
21	Ū	PCT WO00/55342 A1	09/21/2000	G. Gao		
2	V	PCT WO00/75353 A1	12-14-2000	W. Xiao		
Examiner Signature		Davel Luga	Date Consid	ered /Z	129/05	

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Substitute for form 1440/DTO			,	Co	mpiete if Known
Substitut	Substitute for form 1449/PTO			Application Number	10/696,282
	INFORMATION			Filing Date	October 29, 2003
DISCLOSURE			SURE	First Named Inventor	James M. Wilson
	STATEMENT BY			Group Art Unit	1636
APPLICANT (Use as many sheets as necessary) Sheet 3 of 8				Examiner Name	Brian A. Whiteman GUZO
			8	Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1

		U.S	S. PATENT DOCUMEN	its	
Examiner	Cite	Document Number Publication Date	Name of Patentee	Pages, Columns, Lines, Where Relevant Passages	
Initials*	No.1	Number-Kind Code ^{2((thrown)}	MM-DD-YYYY	or Applicant of Cited Document	or Relevant Figures Appear
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07	X	US-5,622,856	04-22-1997	Natsoulis	

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	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ -Kind Code ⁵ (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures	76
91	Y	PCT WO01/23597 A2	04-05-2001	G. Gao	Appear	
81	Z	PCT WO01/23001 A2	04-05-2001	M. Croyle		
91	AA	PCT WO01/83692 A2	11-08-2001	M. Hildinger		
7	BB	PCT WO01/40455 A2	06-07-2001	G. Gao		

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Application Number	10/696,282	
Filing Date	October 29, 2003	
First Named Inventor	James M. Wilson	
Group Art Unit	1635/636	
Examiner Name	Brian A. Whiteman G7 U	20
Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1	

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or	CC	HAUCK ET AL, Generation and Characterization of Chimeric Recombinant AAV Vectors, Molecular Therapy, Vol. 7, No. 3, pp. 419-425, (March 2003)	
01	DD	RABINOWITZ ET AL, Cross-Packaging of a Single Adeno- Associated Virus (AAV) Type 2 Vector Genome into Multiple AAV Serotypes Enables Transduction with Broad Specificity, Journal of Virology, Vol. 76, No. 2, pp. 791-801, (January 2002)	
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				Filing Date	October 29, 2003
			NT BY	First Named Inventor	James M. Wilson
	APPLICANT			Group Art Unit	1635 /636
"	Use as m	any shee	ts as necessary)	Examiner Name	Brien-A. Whiteman GUZO
Sheet 5 of 8			8	Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1

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2		Associated Virus Type 1, Journal of Virology, 73(5):3994-4003 (May, 1999)	
	П	H. CHAO ET AL, Several Log Increase in Therapeutic Transgene	
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el	KK	K. FISHER ET AL, Recombinant Adeno-Associated Virus for Muscle Directed Gene Therapy, Nature Medicine, 3(3):306-312 (March, 1997)	
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INFORMATION				Application Number	10/696,282	
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			NT BY	First Named Inventor	James M. Wilson	
	APPLICANT (Use as many sheets as necessary)			Group Art Unit	1635 /636	
(Examiner Name	Brian A. Whiteman 6,020	
Sheet 6 of 8			8	Attorney Docket Number	GNV31BUSA/ UPN-K1774DIV1	

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91	MM	R. SNYDER ET AL, Persistent and Therapeutic Concentrations of Human Factor IX in Mice After Hepatic Gene Transfer of Reocmbinant AAV Vectors, Nature Genetics, 16:270-276 (July, 1997)			
01	NN N. MUZYCZKA, Use of Adeno-Assicated Virus as a General Transduction Vector for Mamalian Cells, Current Topics in Microbiology and Immunology, 158:97-129, (1992)				
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W.	RR	K. BERNS, Parvovirus Replication, Microbiological Reviews, 54(3):316-329 (September, 1990)			

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DISCLOSURE				Filing Date	October 29, 2003	
STATEMENT BY			NT BY	First Named Inventor	James M. Wilson	
	APPLICANT (Use as many sheets as necessary)			Group Art Unit	1995/636	
(Examiner Name	Brian A. Whiteman 6,020	
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01	SS	R. SAMULSKI ET AL, Cloning of Adeno-Associated Virus into pBR322: Rescue of Intact Virus from the Recombinant Plasmid in Human Cells, Proc. Natl. Acad. Sci. USA, 79:2077-2081 (March, 1982)	
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Ol	XX	X. XIAO ET AL, Gene Transfer by Adeno-Associated Virus Vectors into the Central Nervous System, Experimental Neurology, 144:113-124 (1997)	

Examiner Signature Date Considered /2/29/05

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[·				Examiner Name	Brian A. Whiteman GUZO	
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27	YY	ROSE ET AL, Microbiology, Vol. 546, Pages, 86-92, (1966)	
01	ZZ	ANDERSON ET AL, Nature, Vol. 392, Pages, 25-30, (1998)	
01	AAA	VERMA, Nature, Vol. 389, Pages 239-242, (1997)	
A	BBB	ORKIN ET AL, Report and Recommendations of the Panel to Assess the NIH Investments in Research on Gene Therapy, issue by the National Institute of Health, (December 7, 1995)	

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